

Memorandum

Date: April 29, 2009

To: Assistant Commissioner, Staff

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Administrative Services Division

File No.: 70.A5031

Subject: FIRST QUARTER 2009 COMMAND INSPECTION

For the first quarter 2009 command inspection, Administrative Services Division (ASD) selected Area Administration from the Highway Patrol Guide (HPG) 22.1, Chapter 1. Attached are the Area Management Evaluation forms (CHP 453A) and Exceptions Documents for ASD and all its sections.

The results of this command inspection were mostly favorable. Only one section showed any significant deficiencies with regard to Area Administration and requires additional follow-up. One other section had a minor deficiency that will be easily remedied.

In conducting the command inspections, the inspectors had difficulty utilizing and completing the CHP 453As as several of the items on the form did not apply to nonuniformed staff or required an explanation, and there was no "DNA" column or space on the form to provide this information. Otherwise, there were no problems encountered in conducting this command inspection.

If you have any questions, please contact me at (916) 375-2102.



C. A. WALKER
Assistant Chief

Attachments

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: ASD (070)	Division ASD	Chapter: 1
Inspected by: Kathy Marshall/Debbie Schmick		Date: 4/2/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: <i>Ja Paolini</i>	Date: 4/28/09
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: _____			

The Chief encourages staff to develop creative ideas for improving efficiency and effectiveness. The following completed or in-progress projects illustrate some of the beneficial ideas that have come from Administrative Services Division (ASD) employees: Replacing Form Flow with a more intuitive .PDF Document Creator program; procuring Asset Management software for Facilities Section; purchasing the Fleet Focus equipment management program; implementing the Payroll Accounting system and Accounts Receivable database; developing the Cadet Application On-line system; and possibly transferring the cadet background investigation Personal History Questionnaire to an on-line application. The Chief routinely surveys various units/programs to determine where staff are needed most and reallocates staff as necessary.

Command Suggestions for Statewide Improvement:

When possible, commanders should be open to staff's ideas for improving procedures, if those changes would result in a cost-effective benefit to the Department. Commanders should consider redistributing personnel resources to various programs/units, if possible. This would shift resources where needed and encourage cross-training on duties.

Inspector's Findings:

This Division office inspection positively represented all aspects of the Area Administration chapter inspection. The Chief described numerous examples of successful planning, staffing, organizational efficiency, top-down and bottom-up communications, and staff meetings. The Division log and various other documents were reviewed and found to be current and appropriate. The Chief interacts regularly with staff of all levels, often doing walk-throughs of the various sections/units that comprise the Division, and utilizes an open door policy for communicating with staff. The Chief constantly strives to improve and streamline Division operations and encourages and often implements staff's ideas when appropriate. While the communication between the Division Chief and staff is sufficient, it was noted that the photographs on the picture board were not current. However, the ASD employees will be relocating to a new facility soon and may not be able to continue utilizing the picture board unless there is sufficient space to display it. Therefore, this is not considered a correctable item at this time.

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Command: ASD (O70)	Division ASD	Chapter: 1
Inspected by: Kathy Marshall/Debbie Schmick		Date: 4/2/2009

Commander's Response:

No comments provided.

Inspector's Comments:

No additional comments.

Required Action

Corrective Action Plan/Timeline

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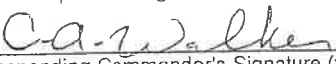
Command: ASD (070)	Division: ASD	Chapter: 1
Inspected by: Kathy Marshall/Debbie Schmick		Date: 4/2/2009

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Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: 4-28-09
Responding Commander's Signature (for appeal):	Date:

AREA ASD (070)	DIVISION ASD	NUMBER
EVALUATED BY Kathy Marshall and Debbie Schmick		DATE 4/2/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW <i>SA Paolini</i> DATE 4/28/09

1. MANAGEMENT FUNCTIONS

a. What functions of management were observed?

	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
(1) Planning adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(3) Staffing adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

2. ORGANIZATION

	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Current Organizational Chart?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Lines of authority, responsibility, and training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
b. How are personnel informed of commander's absence? Through the electronic calendar, e-mail, or phone call.			
(1) Alternate assigned?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Division notified via comm-net?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
c. Have collateral duties been assigned to supervisors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Officers aware of assignments and/or changes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
d. How was efficiency of the organization tested? Reviewed Division log for completion of projects; reviewed duty statements and organization chart; personal observation of processes and interaction of commander with subordinate employees.			
e. Is there an appropriate span of control?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

3. JOB DESCRIPTIONS

	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Local procedure for periodic review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Date of last review update? 10/1/2008			
b. Authority limits explained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
c. Written job descriptions for positions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

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(1) Where are job descriptions kept? Electronic files

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander's methods to disseminate and receive information? The Chief uses e-mail and/or speaks directly to staff. The Chief receives information verbally and via e-mail from the Assistant Chiefs and other employees. There is an open door policy.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? Chief shares appreciation with

employee's supervisor or speaks directly to employee. Commendations are sometimes given to staff. Staff commended at meetings.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants?

☒ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers?

☒ Yes ☐ No

(5) Officers to supervisors?

☒ Yes ☐ No

(6) Officers to commander through chain of command?

☒ Yes ☐ No

(7) Between uniformed/nonuniformed employees?

☒ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings?

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? Chief receives Comm-Nets, information e-mailed, Assistant Chiefs notify Chief, and Chief meets with staff to learn about events.

f. Are photos on picture board current?

☐ Yes ☒ No

5. AREA AND STAFF MEETINGS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

No
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b. How often are Area meetings held? Typically, after Top Management meetings.

(1) Who coordinates agenda? Support staff.

(2) Who takes minutes? Support staff.

(3) Is action taken, with subsequent follow-up? ☒ Yes ☐ No

c. Are successive meetings held? ☒ Yes ☐ No

d. Are Top Management minutes discussed? ☒ Yes ☐ No

(1) Does commander support departmental programs? ☒ Yes ☐ No

(2) Do employees understand information disseminated? ☒ Yes ☐ No

e. Are special interest programs planned? ☒ Yes ☐ No

f. Are schedules arranged for maximum attendance? ☒ Yes ☐ No

(1) Is information conveyed to absent members? ☒ Yes ☐ No

g. What is the frequency of staff meetings? Varies with entire staff. Daily or weekly with Assistant Chiefs.

(1) Agendas distributed prior to meetings? ☒ Yes ☐ No

(2) Who attends? Assistant Chiefs and support staff.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

h. Are sergeants-only meetings held? ☐ Yes ☒ No

i. What is the frequency of nonuniformed meetings? Varies

(1) Who schedules these meetings? Chief

(2) What is the commander's role? To provide information and/or direction, discuss daily activities, discuss status of projects and to share ideas.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

6. MANAGEMENT OF TIME

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is time spent on activities proportionate to importance? ☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours? ☒ Yes ☐ No

7. COLLECTIVE BARGAINING

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the commander comply with Contract Interpretations (CI)? ☒ Yes ☐ No

(1) Does a library copy of all CIs exist? ☒ Yes ☐ No

(2) Employee groups notified prior to changing policy? ☒ Yes ☐ No

(3) Employee contract training for nonuniformed supervisors? ☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures? ☒ Yes ☐ No

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only
1 Sg

AREA ASD (070)	DIVISION ASD	NUMBER
EVALUATED BY Kathy Marshall and Debbie Schmick		DATE 4/2/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION
☒ Formal Evaluation ☐ Informal Evaluation

FOLLOW-UP REQUIRED
☐ YES ☒ NO
☐ Correction Report
BY _____

7-15-09

*Changes to
some of the
documents per
request of
Suzanne/Lt.
King - ACS's
office*

DATE
4/28/09

CORRECTED

1. MANAGEMENT FUNCTIONS

a. What functions of management were observed?

- (1) Planning adequate?
- (2) Organization adequate?
- (3) Staffing adequate?
- (4) Directing adequate?
- (5) Controlling adequate?
- (6) Delegating adequate?

☒ Yes ☐ No
☒ Yes ☐ No
☒ Yes ☐ No
☒ Yes ☐ No
☒ Yes ☐ No
☒ Yes ☐ No

2. ORGANIZATION

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Current Organizational Chart?

☒ Yes ☐ No

(1) Lines of authority, responsibility, and training?

☒ Yes ☐ No

b. How are personnel informed of commander's absence? Through the electronic calendar, e-mail, or phone call.

(1) Alternate assigned?

☒ Yes ☐ No

(2) Division notified via comm-net?

☐ Yes ☒ No

c. Have collateral duties been assigned to supervisors?

☒ Yes ☐ No

(1) Officers aware of assignments and/or changes?

☒ Yes ☐ No

d. How was efficiency of the organization tested? Reviewed Division log for completion of projects; reviewed duty statements and organization chart; personal observation of processes and interaction of commander with subordinate employees.

e. Is there an appropriate span of control?

☒ Yes ☐ No

3. JOB DESCRIPTIONS

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Local procedure for periodic review?

☒ Yes ☐ No

(1) Date of last review update? 10/1/2008

b. Authority limits explained?

☒ Yes ☐ No

c. Written job descriptions for positions?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

AREA ADMINISTRATION

CHP 453A (Rev. 5-06) OPI 009

AREA ASD (070)	DIVISION ASD	NUMBER
EVALUATED BY Kathy Marshall and Debbie Schmick		DATE 4/2/2009

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TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		COMMANDER'S REVIEW <i>SA Paolini</i>	DATE 4/28/09
BY		EVALUATED Yes	ACTION REQUIRED No
1. MANAGEMENT FUNCTIONS		CORRECTED	

a. What functions of management were observed?

(1) Planning adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Current Organizational Chart?

☒ Yes ☐ No

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☒ Yes ☐ No

b. How are personnel informed of commander's absence? Through the electronic calendar, e-mail, or phone call.

(1) Alternate assigned?

☒ Yes ☐ No

(2) Division notified via comm-net?

☐ Yes ☒ No

c. Have collateral duties been assigned to supervisors?

☒ Yes ☐ No

(1) Officers aware of assignments and/or changes?

☒ Yes ☐ No

d. How was efficiency of the organization tested? Reviewed Division log for completion of projects; reviewed duty statements and organization chart; personal observation of processes and interaction of commander with subordinate employees.

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☒ Yes ☐ No

3. JOB DESCRIPTIONS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Local procedure for periodic review?

☒ Yes ☐ No

(1) Date of last review update? 10/1/2008

b. Authority limits explained?

☒ Yes ☐ No

c. Written job descriptions for positions?

☒ Yes ☐ No

(1) Where are job descriptions kept? Electronic files

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander's methods to disseminate and receive information? The Chief uses e-mail and/or speaks directly to staff. The Chief receives information verbally and via e-mail from the Assistant Chiefs and other employees. There is an open door policy.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? Chief shares appreciation with employee's supervisor or speaks directly to employee. Commendations are sometimes given to staff. Staff commended at meetings.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants?

☒ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers?

☒ Yes ☐ No

(5) Officers to supervisors?

☒ Yes ☐ No

(6) Officers to commander through chain of command?

☒ Yes ☐ No

(7) Between uniformed/nonuniformed employees?

☒ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings?

No Lieutenants in ASD.

☐ Yes ☒ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? Chief receives Comm-Nets, information e-mailed, Assistant Chiefs notify Chief, and Chief meets with staff to learn about events.

f. Are photos on picture board current?

Refer to Exceptions Document

☐ Yes ☒ No

5. AREA AND STAFF MEETINGS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

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b. How often are Area meetings held? Typically, after Top Management meetings.

(1) Who coordinates agenda? Support staff.

(2) Who takes minutes? Support staff.

(3) Is action taken, with subsequent follow-up? ☒ Yes ☐ No

c. Are successive meetings held? ☒ Yes ☐ No

d. Are Top Management minutes discussed? ☒ Yes ☐ No

(1) Does commander support departmental programs? ☒ Yes ☐ No

(2) Do employees understand information disseminated? ☒ Yes ☐ No

e. Are special interest programs planned? ☒ Yes ☐ No

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(1) Is information conveyed to absent members? ☒ Yes ☐ No

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h. Are sergeants-only meetings held? ☐ Yes ☒ No

i. What is the frequency of nonuniformed meetings? Varies

(1) Who schedules these meetings? Chief

(2) What is the commander's role? To provide information and/or direction, discuss daily activities, discuss status of projects and to share ideas.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

6. MANAGEMENT OF TIME

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is time spent on activities proportionate to importance? ☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours? ☒ Yes ☐ No

7. COLLECTIVE BARGAINING

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the commander comply with Contract Interpretations (CI)? ☒ Yes ☐ No

(1) Does a library copy of all CIs exist? ☒ Yes ☐ No

(2) Employee groups notified prior to changing policy? ☒ Yes ☐ No


(3) Employee contract training for nonuniformed supervisors? ☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: FMS (071)	Division: ASD	Chapter: 1
Inspected by: Caryn Argenio/Rosemary Sidley		Date: 4/1/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 4/21/09
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices:			

Fiscal Management Section (FMS) worked with Information Technology Section and Human Resources Section (HRS), Personnel Transactions Unit (PTU) to automate and streamline departmental account receivable tracking. ITS developed the Employee Payroll Advance Recovery System (EPARS) that is utilized by FMS and PTU staff to efficiently track and collect on account receivable accounts.

Command Suggestions for Statewide Improvement:
--

FMS implemented quarterly reporting on Driving Under the Influence cost recovery, witness fee deposits, and invoices to enable commands to more effectively track submission and timely collection on invoices. FMS implemented a vendor pre-payment program for arrest logs to enable vendors to order multiple arrest logs from multiple areas without individual payments being sent to each Area office.

Inspector's Findings:

This command inspection revealed that FMS is operating effectively with respect to Area Administration. Job descriptions are current and reviewed annually, and cross-training within the section has been completed. The dissemination and receipt of information and communication throughout the section is very good. A variety of resources are utilized by the commander to ensure that all employees are made aware of vital information pertinent to their daily operations as well as the Department. Regular staff meetings are held, organized with an agenda, and follow-up meetings to resolve issues are encouraged as necessary. The commander ensures all managers and supervisors are aware of assignments within their scope of responsibility as well as scheduled timelines of all major projects to ensure deadlines are met. FMS managers and supervisors are knowledgeable regarding the appropriate employee bargaining units and know where to access the contracts. Management supports an open door policy to resolve problems in a timely manner.

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EXCEPTIONS DOCUMENT

Command: FMS (071)	Division: ASD	Chapter: 1
Inspected by: Caryn Argenio/Rosemary Sidley		Date: 4/1/2009

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Commander's Response:

I appreciate the opportunity provided by the Command Inspection to take a closer look at the daily operations of the Fiscal Management Section. I am pleased that no corrective actions were necessary and will continue to monitor our section to ensure compliance. Should any issues arise during the year, they will be addressed in an expeditious and timely manner.

Inspector's Comments:

No additional comments.

Required Action

Corrective Action Plan/Timeline

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EXCEPTIONS DOCUMENT

Command: FMS (071)	Division: ASD	Chapter: 1
Inspected by: Caryn Argenio/Rosemary Sidley		Date: 4/1/2009

Page 3

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection)*

Commander's Basis for Appeal:


Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: <i>C. A. Walker</i>	Date: <i>4-24-09</i>
Responding Commander's Signature (for appeal):	Date:

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CHP 453A (Rev. 5-06) OPI 009

AREA FMS (071)	DIVISION ASD	NUMBER
EVALUATED BY Rosemary Sidley and Caryn Argenio		DATE 4/1/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW  DATE 4/21/09
1. MANAGEMENT FUNCTIONS		EVALUATED Yes	ACTION REQUIRED No

a. What functions of management were observed?

(1) Planning adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
------------------------	------------------	-----------------------	-----------

a. Current Organizational Chart?

☒ Yes ☐ No

(1) Lines of authority, responsibility, and training?

☒ Yes ☐ No

b. How are personnel informed of commander's absence? Via e-mail to all staff and Division.

(1) Alternate assigned?

☒ Yes ☐ No

(2) Division notified via comm-net?

☒ Yes ☐ No

c. Have collateral duties been assigned to supervisors?

☒ Yes ☐ No

(1) Officers aware of assignments and/or changes? N/A

☐ Yes ☐ No

d. How was efficiency of the organization tested? Completion of Year End Plan. Proper chain of command review and approval was demonstrated as well as the dissemination of timelines to complete the projects.

e. Is there an appropriate span of control?

☒ Yes ☐ No

3. JOB DESCRIPTIONS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
----------------------------	------------------	-----------------------	-----------

a. Local procedure for periodic review?

☒ Yes ☐ No

(1) Date of last review update? Annually, in October. Also reviewed and updated when a vacancy occurs.

b. Authority limits explained?

☒ Yes ☐ No

c. Written job descriptions for positions?

☒ Yes ☐ No

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(1) Where are job descriptions kept? In the section's files by the clerical support staff, as well as electronic copies.

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander's methods to disseminate and receive information? Departmental Comm-Net messages, staff meetings, section bulletin boards, through manager/supervisor meetings with staff.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? In person by personally thanking them; through e-mail so copies can be made and placed in field folders; performance evaluations; Commendable Form 2s.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants? *N/A*

☐ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers? *N/A*

☐ Yes ☐ No

(5) Officers to supervisors? *N/A*

☐ Yes ☐ No

(6) Officers to commander through chain of command? *N/A*

☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees? *N/A*

☐ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings? *N/A*

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? Departmental Comm-Nets, access to news clips via the computer, e-mails.

f. Are photos on picture board current?

☒ Yes ☐ No

5. AREA AND STAFF MEETINGS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

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b. How often are Area meetings held? Every other month, unless need dictates sooner.

(1) Who coordinates agenda? FMS Commander

(2) Who takes minutes? No minutes are taken.

(3) Is action taken, with subsequent follow-up? ☒ Yes ☐ No

c. Are successive meetings held? ☒ Yes ☐ No

d. Are Top Management minutes discussed? ☒ Yes ☐ No

(1) Does commander support departmental programs? ☒ Yes ☐ No

(2) Do employees understand information disseminated? ☒ Yes ☐ No

e. Are special interest programs planned? ☒ Yes ☐ No

f. Are schedules arranged for maximum attendance? ☒ Yes ☐ No

(1) Is information conveyed to absent members? ☒ Yes ☐ No

g. What is the frequency of staff meetings? Every other month, unless need dictates sooner.

(1) Agendas distributed prior to meetings? ☒ Yes ☐ No

(2) Who attends? All staff. Meetings are scheduled so the majority of staff can attend. Manager/supervisor meetings occur at the same frequency, and prior to the section staff meetings.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

h. Are sergeants-only meetings held? *N/A* ☐ Yes ☐ No

i. What is the frequency of nonuniformed meetings? Every other month, unless need dictates sooner.

(1) Who schedules these meetings? FMS Commander

(2) What is the commander's role? To facilitate the meeting, answer questions, and create the agenda.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

6. MANAGEMENT OF TIME	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Is time spent on activities proportionate to importance? ☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours? ☒ Yes ☐ No

7. COLLECTIVE BARGAINING	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Does the commander comply with Contract Interpretations (CI)? ☒ Yes ☐ No

(1) Does a library copy of all CIs exist? ☒ Yes ☐ No

(2) Employee groups notified prior to changing policy? ☒ Yes ☐ No


(3) Employee contract training for nonuniformed supervisors? ☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures? ☒ Yes ☐ No

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: FOS (074)	Division: ASD	Chapter: 1
Inspected by: R. Sidley/D. Schmick		Date: 4/7/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 4-22-09
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: _____ _____			

Fleet Operations Section (FOS) purchases and equips motor vehicles for the Department. In order to ensure the highest quality and best equipped vehicles are available within the shortest timeframe, FOS provides cross-training to staff working the equipping line. Staff are rotated on a regular basis among the ten work/equipping stations on the line; and they are continuously cross-trained to ensure the production does not suffer if employees are out of the office due to sick leave, vacation, furloughs, etc.

Command Suggestions for Statewide Improvement:

Inspector's Findings:

This command inspection revealed that FOS is very effective with respect to area administration. The section organization chart is current and the job descriptions are reviewed annually as well as when vacancies are filled. Section staff are thoroughly aware of their duties and responsibilities. There is excellent communication among the FOS commander and staff. The commander informally visits with employees and conducts regular staff meetings with all of the staff, including those at the Torrance facility. Although there is no formal agenda for the staff meetings, minutes of the meetings are taken, and action items are followed up on. Due to the nature of the work performed by the Automotive Technicians in this section, there is a great amount of attention spent on cross-training the staff and on occupational safety issues. In an effort to meet deadlines, the commander ensures that all managers and supervisors are aware of assignments that are within their scope of responsibility as well as the scheduled timeframes of all major projects. The commander and unit managers/supervisors are knowledgeable regarding the bargaining unit contracts. Management supports an open door policy to resolve problems in a timely manner.

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Commander's Response:

Fleet Operations Section has reviewed the documents and concur with the inspector's comments and findings.

Inspector's Comments:

No further comments.

Required Action

Corrective Action Plan/Timeline

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Command: FOS (074)	Division: ASD	Chapter: 1
Inspected by: R. Sidley/D. Schmick		Date: 4/7/2009

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

Date:

C. A. Walker

4-24-09


Responding Commander's Signature (for appeal):

Date:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
AREA ADMINISTRATION
CHP 453A (Rev. 5-06) OPI 009

AREA FOS (074)	DIVISION ASD	NUMBER
EVALUATED BY Rosemary Sidley and Debbie Schmick		DATE 4/7/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		COMMANDER'S REVIEW 	DATE 4.22.09
<input type="checkbox"/> Correction Report BY		EVALUATED Yes	ACTION REQUIRED No
1. MANAGEMENT FUNCTIONS		CORRECTED	

a. What functions of management were observed?

(1) Planning adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Current Organizational Chart?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Lines of authority, responsibility, and training?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
b. How are personnel informed of commander's absence? E-mail	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Alternate assigned?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(2) Division notified via comm-net?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
c. Have collateral duties been assigned to supervisors?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Officers aware of assignments and/or changes? N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No		
d. How was efficiency of the organization tested? Reports are processed through the chain of command, as appropriate. Folders with tracking sheets are utilized for sign-off and tracking purposes. Walk-through of the facility.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

e. Is there an appropriate span of control?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. JOB DESCRIPTIONS	EVALUATED Yes
a. Local procedure for periodic review?	ACTION REQUIRED No
(1) Date of last review update? Reviewed annually and when deemed necessary due to changes in duties.	CORRECTED
b. Authority limits explained?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Written job descriptions for positions?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Where are job descriptions kept? Electronic and hard copies of job descriptions are maintained at the Administrative Assistant's desk.

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander's methods to disseminate and receive information? Verbally in discussions with employees, through e-mails and at monthly staff meetings. Also, meetings are held every two months with employees at the Torrance facility.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? Verbally to the employee and/or to the employee's supervisor.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants?

☐ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers?

☐ Yes ☐ No

(5) Officers to supervisors?

☐ Yes ☐ No

(6) Officers to commander through chain of command?

☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees?

☒ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings?

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? By e-mail or direct contact with the program managers.

f. Are photos on picture board current?

☒ Yes ☐ No

5. AREA AND STAFF MEETINGS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☐ Yes ☒ No

No set agenda for meetings.

Commander encourages open discussion.

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b. How often are Area meetings held? Monthly

(1) Who coordinates agenda? There is no formal agenda prepared for the meetings.

(2) Who takes minutes? Program Manager

(3) Is action taken, with subsequent follow-up?

☒ Yes ☐ No

☒ Yes ☐ No

c. Are successive meetings held?

☒ Yes ☐ No

d. Are Top Management minutes discussed?

☒ Yes ☐ No

(1) Does commander support departmental programs?

☒ Yes ☐ No

(2) Do employees understand information disseminated?

☐ Yes ☒ No

e. Are special interest programs planned?

☒ Yes ☐ No

f. Are schedules arranged for maximum attendance?

☒ Yes ☐ No

(1) Is information conveyed to absent members?

g. What is the frequency of staff meetings? Monthly. In addition, a meeting is held every two months with staff at the Torrance location.

☐ Yes ☒ No

(1) Agendas distributed prior to meetings? Refer to 5.a.(2).

(2) Who attends? All staff - 60 employees.

☒ Yes ☐ No

(3) Action taken, with subsequent follow-up?

☐ Yes ☐ No

h. Are sergeants-only meetings held?

i. What is the frequency of nonuniformed meetings? Monthly. Every two months for Torrance employees.

(1) Who schedules these meetings? Commander

(2) What is the commander's role? Commander facilitates the meeting, provides information and answers questions.

(3) Action taken, with subsequent follow-up?

☒ Yes ☐ No

6. MANAGEMENT OF TIME

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is time spent on activities proportionate to importance?

☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours?

☒ Yes ☐ No

7. COLLECTIVE BARGAINING

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the commander comply with Contract Interpretations (CI)?

☒ Yes ☐ No

(1) Does a library copy of all CIs exist?

☒ Yes ☐ No

(2) Employee groups notified prior to changing policy?

☒ Yes ☐ No

(3) Employee contract training for nonuniformed supervisors?

☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures?

☒ Yes ☐ No

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**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: BSS (076)	Division: ASD	Chapter: 1
Inspected by: Kathy Marshall and Julie Martin		Date: 4/7/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: <i>27 Anderson</i>	Date: 4.24.09
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

The Business Services Section (BSS) commander sometimes allocates assignments that will help prepare staff for upward mobility opportunities, such as bill analysis or special writing assignments. The commander plans to introduce discussions about the Strategic Plan goals and objectives at quarterly staff meetings so staff understand how important their work is to overall departmental efficiency and effectiveness.

BSS employees are located at different work sites (buildings); therefore, the commander has staff meetings at all of the different locations so employees do not always have to leave their work sites for meetings. Also, this gives the BSS employees an opportunity to visit their co-workers' offices.

Command Suggestions for Statewide Improvement:

No suggestions for statewide improvement were provided.

Inspector's Findings:

BSS is a nonuniformed command; therefore, several questions on the CHP 453A related to uniformed employees were not applicable to this section. This command inspection determined that the overall area administration of BSS is very good. Staff rely heavily on the Project Log to ensure accountability and timely completion of projects. The commander communicates well with the employees, both verbally and through e-mail, and maintains an open door policy. There are regular staff meetings where information is communicated to the staff and staff have the ability to ask questions or provide input. The assignment of alternate commander is rotated among the managers. Attempts are made to resolve issues at the lowest possible level.

This command inspection noted two areas of concern: 1) Most job descriptions are normally reviewed when there is a vacancy. While most were updated in August 2007 or later, a few had not been updated since February 2004; 2) When a clerical employee is absent, the remaining clerical staff answer the telephones. However, there is no cross-training of the clerical employees. It is recommended that all job descriptions be reviewed and updated, and that a process be implemented whereby all of the job descriptions are periodically reviewed for appropriateness. Additionally, all clerical staff should be cross-trained so one can perform the duties of another as necessary.

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EXCEPTIONS DOCUMENT

Command: BSS (076)	Division: ASD	Chapter: 1
Inspected by: Kathy Marshall and Julie Martin		Date: 4/7/2009

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Commander's Response:

Areas of concern:

- (1) Review of job descriptions – As stated, the command reviews duty statements at the time of vacancy. Due to the specialty of the command's units, most duty statements are specific in nature and do not change. The inspector recommends a process for periodical review. Even though the command has not had issue with its current practice, it will defer to the inspector's recommendation and will incorporate a review of all duty statements. Please provide an acceptable time frame for periodical review.
- (2) Cross-training of clerical employees – As stated, BSS clerical staff are only cross-trained on the general clerical support duties such as answering phones, assisting visitors, routing and copying documents, mail pick-up and distribution, etc. Due to the specialty of the units within BSS, the ability to cross-train clerical staff on duties over and above general clerical support duties listed above is not an effective or efficient use of resources. Many of the clerical staff are trained on software programs unique to their units and many of these programs have licensing issues which does not allow unlimited users. In addition, due to the infrequency of use, the clerical staff would have no proficiency with regard to these duties. The filing systems are also unique. The BSS has had issues in the past with misfiled documents. Adding additional staff to filing would most likely exacerbate the situation instead of easing it. At this time, BSS respectfully disagrees with the cross-training of clerical staff over and above the current duties. NOTE: The CHP is a pilot agency for a new eProcurement system. When that system is fully functional, there will not be a user issue. BSS plans to train all three office technicians to use this system. This system replaces two of the current unit specific software programs (ACS and Dr. E).

Inspector's Comments:

- (1) All duty statements should be reviewed/updated by July 1, 2009, and then on a yearly basis thereafter, either altogether, or individually to coincide with the employee's performance appraisal.
- (2) No further action is required concerning the cross-training of the clerical employees. The commander has elaborated on the current cross-training of these employees, which appears sufficient and will be enhanced when the eProcurement system is operational. Also, there are extenuating circumstances in this command that would make extensive cross-training ineffectual.

Required Action

Corrective Action Plan/Timeline

All duty statements with a July 1, 2008, or earlier review date, will be reviewed/updated by July 1, 2009 (combining any annual reviews in the process). Thereafter, they will be reviewed at the time of each employee's annual evaluation.

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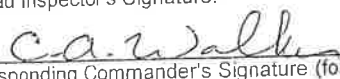
Command: BSS (076)	Division: ASD	Chapter: 1
Inspected by: Kathy Marshall and Julie Martin		Date: 4/7/2009

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Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: 4-24-09
Responding Commander's Signature (for appeal):	Date:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
AREA ADMINISTRATION
CHP 453A (Rev. 5-06) OPI 009

AREA BSS (076)	DIVISION ASD	NUMBER
EVALUATED BY Kathy Marshall and Julie Martin		DATE 4/7/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		COMMANDER'S REVIEW <i>22 Anderson</i>	DATE 4.24.09
<input type="checkbox"/> Correction Report BY _____		EVALUATED Yes	ACTION REQUIRED No

1. MANAGEMENT FUNCTIONS

a. What functions of management were observed?

(1) Planning adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Current Organizational Chart?		
(1) Lines of authority, responsibility, and training?		
b. How are personnel informed of commander's absence? E-mail, phone call or voice mail.		
(1) Alternate assigned?		
(2) Division notified via comm-net?		
c. Have collateral duties been assigned to supervisors?		
(1) Officers aware of assignments and/or changes? <i>N/A</i>		
d. How was efficiency of the organization tested? Managers often build a detailed work plan for assignments and include the information on the Project Log. The Project Log was reviewed and the projects are on track for completion by the due dates.		
e. Is there an appropriate span of control?		

3. JOB DESCRIPTIONS

EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED
a. Local procedure for periodic review?		
(1) Date of last review update? Most were reviewed in August 2007 or later. Updated as positions vacate.		
b. Authority limits explained?		
c. Written job descriptions for positions?		

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(1) Where are job descriptions kept? In binders near the commander's office. Job descriptions for all BSS employees were reviewed.

Most were updated in August 2007 or later, but a few were dated 2004 and 2006.

(2) Has cross training been conducted? *Refer to Exceptions Document.* ☐ Yes ☒ No

4. COMMUNICATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander's methods to disseminate and receive information? E-mail groups are used frequently to disseminate information, as well as through informal and formal meetings.

(1) Does the commander use both formal and informal channels? ☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? In meetings, verbally directly to the employee, and through announcements at informal events, such as potlucks. Congratulatory documents are placed in field folders.

b. Good up and down flow of information within Area? ☒ Yes ☐ No

(1) Commander to supervisors? ☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants? ☐ Yes ☐ No

(3) Supervisors to commander? ☒ Yes ☐ No

(4) Supervisors to officers? ☐ Yes ☐ No

(5) Officers to supervisors? ☐ Yes ☐ No

(6) Officers to commander through chain of command? ☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees? ☐ Yes ☐ No

(8) Suggestions for improvement made/tested? ☒ Yes ☐ No

c. Commander and supervisors available for counseling? ☒ Yes ☐ No

(1) Commander attend briefings? ☒ Yes ☐ No

(2) Lieutenant attend briefings? ☐ Yes ☐ No

d. Is the information system effective? ☒ Yes ☐ No

(1) Are personnel aware of current projects? ☒ Yes ☐ No

(2) Weekly correspondence routed? ☒ Yes ☐ No

e. How is the commander kept informed of daily events? The Chief and Staff Services Manager IIs are the main information pipeline for the commander. The commander receives information verbally and via e-mail.

f. Are photos on picture board current? ☒ Yes ☐ No

5. AREA AND STAFF MEETINGS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings? ☒ Yes ☐ No

(1) Do meetings begin on time? ☒ Yes ☐ No

(2) Is there an agenda? ☒ Yes ☐ No

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b. How often are Area meetings held? Quarterly for all staff; bimonthly for supervisors and managers.

(1) Who coordinates agenda? Section Administrative Assistant

(2) Who takes minutes? Not done anymore. However, action items are added to the project log and supervisors brief absentees.

(3) Is action taken, with subsequent follow-up? ☒ Yes ☐ No

c. Are successive meetings held? ☒ Yes ☐ No

d. Are Top Management minutes discussed? ☒ Yes ☐ No

(1) Does commander support departmental programs? ☒ Yes ☐ No

(2) Do employees understand information disseminated? ☒ Yes ☐ No

e. Are special interest programs planned? ☒ Yes ☐ No

f. Are schedules arranged for maximum attendance? ☒ Yes ☐ No

(1) Is information conveyed to absent members? ☒ Yes ☐ No

g. What is the frequency of staff meetings? Quarterly for all staff; bimonthly for supervisors and managers.

(1) Agendas distributed prior to meetings? ☒ Yes ☐ No

(2) Who attends? Quarterly meetings - all employees; bimonthly meetings - commander, managers, supervisors.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

h. Are sergeants-only meetings held? *N/A* ☐ Yes ☒ No

i. What is the frequency of nonuniformed meetings? Quarterly for all staff; bimonthly for supervisors and managers.

(1) Who schedules these meetings? Section Administrative Assistant

(2) What is the commander's role? Quarterly: Starts meeting, has question and answer session regarding important topics, discusses safety information. Supervisor/manager meetings: Leads meeting, presents items of importance from Division or Top Management, discusses action items, and chairs a round table of information sharing.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

6. MANAGEMENT OF TIME

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is time spent on activities proportionate to importance? ☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours? ☒ Yes ☐ No

7. COLLECTIVE BARGAINING

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the commander comply with Contract Interpretations (CI)? ☒ Yes ☐ No

(1) Does a library copy of all CIs exist? ☒ Yes ☐ No

(2) Employee groups notified prior to changing policy? ☒ Yes ☐ No

(3) Employee contract training for nonuniformed supervisors? ☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures? ☒ Yes ☐ No

AREA HRS (077)	DIVISION ASD	NUMBER
EVALUATED BY Sandra Bradley and Julie Martin		DATE 4/8/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		CORRECTION REPORT <input type="checkbox"/>	
BY		COMMANDER'S REVIEW <i>[Signature]</i>	DATE 04/28/09
1. MANAGEMENT FUNCTIONS		EVALUATED Yes	ACTION REQUIRED No

a. What functions of management were observed?

(1) Planning adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Current Organizational Chart?

☒ Yes ☐ No

(1) Lines of authority, responsibility, and training?

☒ Yes ☐ No

b. How are personnel informed of commander's absence? Verbally or through e-mail. Also noted on electronic calendar.

(1) Alternate assigned?

☒ Yes ☐ No

(2) Division notified via comm-net?

☒ Yes ☐ No

c. Have collateral duties been assigned to supervisors?

☒ Yes ☐ No

(1) Officers aware of assignments and/or changes? *N/A*

☐ Yes ☐ No

d. How was efficiency of the organization tested? Review of project log, duty statements, organization chart. New hires are assigned a mentor. The Administrative Assistant maintains project log, follows up with staff for progress, and updates log accordingly.

e. Is there an appropriate span of control?

☒ Yes ☐ No

3. JOB DESCRIPTIONS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Local procedure for periodic review?

☒ Yes ☐ No

(1) Date of last review update? Normally reviewed at the time of refill, but also updated when changes to duties occur.

b. Authority limits explained?

☒ Yes ☐ No

c. Written job descriptions for positions?

☒ Yes ☐ No

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(1) Where are job descriptions kept? In the HRS electronic file directory as well as in a binder kept in the commander's office.

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander's methods to disseminate and receive information? Through verbal communications, e-mails, during commander's daily stand-up meetings and staff meetings. Additionally, the commander has an open door policy.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? Verbally to the employee and/or employee's supervisor and through e-mail.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants? *N/A*

☐ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers? *N/A*

☐ Yes ☐ No

(5) Officers to supervisors? *N/A*

☐ Yes ☐ No

(6) Officers to commander through chain of command? *N/A*

☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees? *N/A*

☐ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings? *N/A*

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? Through e-mails and Comm-Nets, verbally at the daily stand-up meeting with managers and supervisors where concerns and issues are discussed.

f. Are photos on picture board current?

☐ Yes ☒ No

5. AREA AND STAFF MEETINGS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

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b. How often are Area meetings held? Daily stand-up meeting for managers/supervisors. Unit meetings occur about once a month.

(1) Who coordinates agenda? Administrative Assistant

(2) Who takes minutes? Office Technician or Administrative Assistant

(3) Is action taken, with subsequent follow-up? ☒ Yes ☐ No

c. Are successive meetings held? ☒ Yes ☐ No

d. Are Top Management minutes discussed? ☒ Yes ☐ No

(1) Does commander support departmental programs? ☒ Yes ☐ No

(2) Do employees understand information disseminated? ☒ Yes ☐ No

e. Are special interest programs planned? ☒ Yes ☐ No

f. Are schedules arranged for maximum attendance? ☒ Yes ☐ No

(1) Is information conveyed to absent members? ☒ Yes ☐ No

g. What is the frequency of staff meetings? Daily for managers/supervisors. At least once a month for other section employees.

(1) Agendas distributed prior to meetings? ☒ Yes ☐ No

(2) Who attends? All HRS staff are included in meetings, but they normally attend their appropriate unit meeting, i.e., Transactions, Classification and Hiring, Examinations, Clerical, etc.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

h. Are sergeants-only meetings held? *N/A* ☐ Yes ☐ No

i. What is the frequency of nonuniformed meetings? Varies but typically once a month.

(1) Who schedules these meetings? Unit managers.

(2) What is the commander's role? Commander is made aware of the meetings and tries to attend as many as possible to provide information to staff and/or answer questions posed by the staff.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

6. MANAGEMENT OF TIME	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Is time spent on activities proportionate to importance? ☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours? ☒ Yes ☐ No

7. COLLECTIVE BARGAINING	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Does the commander comply with Contract Interpretations (CI)? ☒ Yes ☐ No

(1) Does a library copy of all CIs exist? ☒ Yes ☐ No

(2) Employee groups notified prior to changing policy? ☒ Yes ☐ No


(3) Employee contract training for nonuniformed supervisors? ☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures? ☒ Yes ☐ No

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: HRS (077)	Division: ASD	Chapter: 1
Inspected by: Sandra Bradley and Julie Martin		Date: 4/8/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____	Commander's Signature: 	Date: 04/28/09
Due Date: _____			
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices:			

The Human Resources Section (HRS) commander has a brief stand-up meeting every morning with all section managers, as well as the section administrative assistant and secretary.

Command Suggestions for Statewide Improvement:

Stand-up meetings – Brief stand-up meetings, approximately 15 minutes in length, are a good means to connect with employees. If they occur regularly, it gives employees a means to interact with their co-workers and with their commander or supervisor to discuss items of importance that have recently occurred or that are anticipated to occur. This keeps employees updated on information relevant to their command and provides the opportunity for them to be involved in the processes.

Inspector's Findings:

This command inspection revealed that overall, the area administration of HRS is very good. Job descriptions and the organization chart were recently reviewed and revised. In an effort to determine if the section employees are aware of their responsibilities, various HRS staff were contacted and asked to provide a brief explanation of their job duties. The responses received closely matched their written job descriptions. The section staff rely heavily on a section project log that shows due dates to Division and the Assistant Commissioner, Staff's office; this ensures that projects stay on track and are completed in a timely manner. There is excellent communication among the staff and the commander through personal interaction and formal meetings which are held regularly for all section staff. With the recent reorganization and merger to Administrative Services Division, the picture board has become outdated. However, with the upcoming move, the picture board will not be maintained.

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Commander's Response:

In a further effort to ensure employees are aware of their duties, managers will be reviewing their duty statements with them during their annual performance evaluation meeting. Employees will also be provided a copy of their duty statement annually.

Inspector's Comments:

No further comments.

Required Action

Corrective Action Plan/Timeline

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Command: HRS (077)	Division: ASD	Chapter: 1
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Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

C. A. Walker

Responding Commander's Signature (for appeal):

Date:

4-28-09

Date:

M e m o r a n d u m

Date: April 20, 2009

To: Facilities Section

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Administrative Services Division

File No.: 70.A5031

Subject: COMMAND INSPECTION - AREA ADMINISTRATION

The following information is provided in reference to the Command Inspection Program, Exceptions Document, concerning Area Administration.

Inspector's Findings:

Management Functions:

While Facilities Section is currently in the process of completing various projects and has some long range goals identified, the command inspection revealed that there are no real accountability measures utilized concerning the completion of the projects. The section does not use a project tracking log, but does keep track of due dates to the Assistant Commissioner, Staff, by monitoring that office's log. However, there are no section due dates applied to projects and no checklists, status boards or other tracking system is utilized. It is recommended that Facilities Section develop and maintain an automated project tracking system, such as a facilities maintenance database program, that all section employees can utilize to keep track of their projects and ensure they are meeting the goals/timetables set up for the projects.

Facilities Section should review the duties and responsibilities of the clerical staff. The section either does not utilize their existing clerical staff effectively or does not have adequate clerical staffing. The section analysts, who are often out of the office at various field commands, spend an inordinate amount of time trying to locate required paperwork for their projects. The section does not have an organized filing system which makes it especially difficult to locate historical files and documents that are necessary for the analysts to complete their projects. Clerical staff could be utilized to take some of this burden off of the analysts, thereby making the analysts' use of time more effective.

Safety, Service, and Security

Organization:

To improve the efficiency of the section, a section tracking system should be utilized to control the projects and clerical staff should develop and maintain a filing system that would assist the section's commander, managers and analysts.

The section's current organization chart was reviewed and adequately displays the lines of authority and responsibility. Section staff are always aware of the commander's whereabouts through the use of a sign-in board and travel itinerary.

Job Descriptions:

Job descriptions are normally reviewed only when vacancies are being filled. It is recommended that Facilities Section determine a procedure whereby the job descriptions are reviewed and updated periodically, perhaps annually at the time of employees' performance evaluations.

Section employees seem to know their duties and responsibilities. As part of the command inspection, some of the employees were asked to provide a brief explanation of their job duties and they were able to articulate them well.

The command ensures that all job descriptions are kept in the electronic files and that employees are cross-trained.

Communications:

The command inspection revealed that there is excellent verbal communication in the Facilities Section. The commander interacts frequently with the staff, always checking in to determine how they are doing. All staff utilize a sign-in board and itinerary so other staff members know their whereabouts. The commander encourages an open door policy.

Staff Meetings:

Regular staff meetings are held monthly (first Tuesday of the month) and employees are required to keep their calendars open so they can attend these meetings. There is good reciprocal sharing of information.

Facilities Section

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April 20, 2009

Management of Time:

The time spent on activities is not proportional to the importance of the activities. As indicated previously, the analytical staff, in addition to traveling extensively, spend unnecessary time trying to locate required paperwork for their projects. This is something that could be alleviated through the use of clerical staff.

Collective Bargaining:

There is no library hard copy of the bargaining unit contracts; however, they are obtainable online. The commander and managers comply with the terms of the contracts.

In conclusion, the Facilities Section should develop a project tracking system with section due dates to keep abreast of the status of the various projects and the timelines for completion of the projects. Additionally, a procedure should be developed to ensure job descriptions are updated periodically, not only when positions vacate. Lastly, more effective use of existing clerical staff or more clerical staff would be helpful to the analysts in keeping track of their paperwork for ongoing projects.




C. A. WALKER
Assistant Chief

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: Facilities (078)	Division: ASD	Chapter: 1
Inspected by: Sandra Bradley/Kathy Marshall		Date: 4/1/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input checked="" type="checkbox"/> Attachments Included	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 4/30/09
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: _____			

In acquiring the facility-related responsibilities for inspection facilities and platform scales from the Commercial Vehicle Section, Facilities Section can now incorporate those projects with other facility-related projects, thereby improving consistency and project projections for routine maintenance and repair services.

Facilities Section now has the ability to issue their own X-numbers for facility-related projects rather than going through Business Services Section for the X-numbers. This has streamlined the process as well as allowed Facilities Section to project services into future year contracts.

Command Suggestions for Statewide Improvement:

Facilities Section (FS) will continue to work with the inspection facilities (IF) and field commands to improve upon both the contract and X-number processes. FS is currently evaluating existing contracts for both performance and cost benefit. FS will be facilitating additional training for all IF commanders regarding contract management and the X-number process in order to streamline the existing practices utilized in the completion of repair projects and payment of vendors. These efforts will enhance the overall efficiency of the current process.

Inspector's Findings:

Refer to attached memorandum.

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Inspected by: Sandra Bradley/Kathy Marshall		Date: 4/1/2009

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Commander's Response:

Management Functions: Facilities Section (FS) does utilize a Special Repair Project database utilized by the analysts to track what phase of the project they are in. This database is still in the implementation phase and was developed by Administrative Services Division in 2007 for this specific purpose. Traditional due dates are not used for our construction projects due to the many phases the project goes through for completion. Each phase is tracked on the database so anticipated completion dates can be identified and scheduling for additional phases can be completed.

FS concurs with audit findings regarding the need for additional clerical staff for support of our analysts; however, we recognize the difficulty in obtaining these additional positions and have elected to cross-train our support staff to assist with heavy workload. FS is still working on an internal reorganization and attempting to fill vacant positions to take on the additional work and responsibilities noted in the audit.

Management of Time: FS continues to evaluate current processes utilized by our analysts in both contracting and the X-number process. Thus far we have implemented processes to streamline the X-number, maintenance and special repair contract process. Position upgrades have been completed and filled to address the need for additional support in these tasks. Automation enhancements are also underway to assist with documents needed daily by analysts which currently are available only through hard copy and traditional filing methods.

Inspector's Comments:

The FS Commander has sufficiently explained why the use of traditional due dates for the construction projects is not feasible. Since the command does note all phases of the projects in a database, there is action being taken to monitor the completion of the projects. Therefore, no action is required at this time regarding further use of a project tracking log.

The commander's intention to cross-train the existing clerical staff to assist the analysts will greatly benefit the staff and allow for better use of their time. FS should ensure that the job descriptions for these positions are updated to reflect any changes.

Required Action

Corrective Action Plan/Timeline

Job descriptions for all FS positions should be reviewed and updated, if necessary, by July 1, 2009.

Clerical staff should be cross-trained and provided additional duties to assist the section's analysts by November 1, 2009. This may require changes to the job descriptions of the clerical staff and, if so, those changes should be incorporated into the job descriptions by November 1, 2009.

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Inspected by: Sandra Bradley/Kathy Marshall		Date: 4/1/2009

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Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: <i>C. A. Walker</i>	Date: <i>4-30-09</i>
Responding Commander's Signature (for appeal):	Date:

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AREA Facilities (078)	DIVISION ASD	NUMBER
EVALUATED BY Sandra Bradley and Kathy Marshall		DATE 04/01/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE
FOLLOW-UP REQUIRED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> Correction Report BY	COMMANDER'S REVIEW <i>Lisa Rogo for</i> DATE <i>4/30/09</i>

1. MANAGEMENT FUNCTIONS	EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED
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a. What functions of management were observed?

(1) Planning adequate?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate? <i>Discussed in Exceptions Document.</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION	EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED
------------------------	------------------	------------------------	-----------

a. Current Organizational Chart?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Lines of authority, responsibility, and training?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. How are personnel informed of commander's absence? <i>Sign-in board, travel itinerary, e-mail, verbal communication</i>	
(1) Alternate assigned?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Division notified via comm-net?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Have collateral duties been assigned to supervisors?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Officers aware of assignments and/or changes? <i>N/A</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
d. How was efficiency of the organization tested? <i>Inspectors determined there is no project tracking log (except for AC, Staffs), checklists, status boards, etc., to keep track of projects. Commander verbally communicates with staff regarding project status.</i>	
e. Is there an appropriate span of control?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

3. JOB DESCRIPTIONS	EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED
----------------------------	------------------	------------------------	-----------

a. Local procedure for periodic review?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(1) Date of last review update? <i>Reviewed only at the time of a new hire.</i>	
b. Authority limits explained?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Written job descriptions for positions?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Where are job descriptions kept? In Facilities Section electronic files.

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander's methods to disseminate and receive information? Through routine e-mails, monthly staff meetings, impromptu meetings, word of mouth, open door policy.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? Through e-mails, provides positive verbal feedback to staff members, shares kudos at staff meetings.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants? N/A

☐ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers? N/A

☐ Yes ☐ No

(5) Officers to supervisors? N/A

☐ Yes ☐ No

(6) Officers to commander through chain of command? N/A

☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees?

☒ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings? N/A

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? Through travel itinerary and impromptu discussions. Commander always asks, "What's going on today?" Good reciprocal sharing of information verbally and via e-mail.

f. Are photos on picture board current?

☒ Yes ☐ No

5. AREA AND STAFF MEETINGS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

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b. How often are Area meetings held? Monthly with all staff. Periodically with managers.

(1) Who coordinates agenda? Office Technician

(2) Who takes minutes? Staff Services Analyst

(3) Is action taken, with subsequent follow-up?

☒ Yes ☐ No

c. Are successive meetings held?

☒ Yes ☐ No

d. Are Top Management minutes discussed?

☒ Yes ☐ No

(1) Does commander support departmental programs?

☒ Yes ☐ No

(2) Do employees understand information disseminated?

☒ Yes ☐ No

e. Are special interest programs planned?

☒ Yes ☐ No

f. Are schedules arranged for maximum attendance?

☒ Yes ☐ No

(1) Is information conveyed to absent members?

☒ Yes ☐ No

g. What is the frequency of staff meetings? Monthly (first Tuesday of the month)

☒ Yes ☐ No

(1) Agendas distributed prior to meetings?

(2) Who attends? All staff members are required to attend. Staff is encouraged to make themselves available and not to schedule appointments during this time. Any absences require an explanation to the commander.

☒ Yes ☐ No

(3) Action taken, with subsequent follow-up?

☐ Yes ☐ No

h. Are sergeants-only meetings held? N/A

i. What is the frequency of nonuniformed meetings? Monthly

(1) Who schedules these meetings? Commander

(2) What is the commander's role? Leads the meeting, provides information, answers questions.

(3) Action taken, with subsequent follow-up?

☒ Yes ☐ No

6. MANAGEMENT OF TIME

EVALUATED
Yes

ACTION REQUIRED
Yes

CORRECTED

a. Is time spent on activities proportionate to importance?

☐ Yes ☒ No

b. Commander/lieutenant/sergeants available other than business hours?

☒ Yes ☐ No

7. COLLECTIVE BARGAINING

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the commander comply with Contract Interpretations (CI)?

☒ Yes ☐ No

(1) Does a library copy of all CIs exist?

☐ Yes ☒ No

(2) Employee groups notified prior to changing policy?

☒ Yes ☐ No

(3) Employee contract training for nonuniformed supervisors?

☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures?


☒ Yes ☐ No

Destroy Previous Editions

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: FMS (071)	Division: ASD	Chapter: 1
Inspected by: Caryn Argenio/Rosemary Sidley		Date: 4/1/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 4/21/09
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices:			

Fiscal Management Section (FMS) worked with Information Technology Section and Human Resources Section (HRS), Personnel Transactions Unit (PTU) to automate and streamline departmental account receivable tracking. ITS developed the Employee Payroll Advance Recovery System (EPARS) that is utilized by FMS and PTU staff to efficiently track and collect on account receivable accounts.

Command Suggestions for Statewide Improvement:

FMS implemented quarterly reporting on Driving Under the Influence cost recovery, witness fee deposits, and invoices to enable commands to more effectively track submission and timely collection on invoices. FMS implemented a vendor pre-payment program for arrest logs to enable vendors to order multiple arrest logs from multiple areas without individual payments being sent to each Area office.

Inspector's Findings:

This command inspection revealed that FMS is operating effectively with respect to Area Administration. Job descriptions are current and reviewed annually, and cross-training within the section has been completed. The dissemination and receipt of information and communication throughout the section is very good. A variety of resources are utilized by the commander to ensure that all employees are made aware of vital information pertinent to their daily operations as well as the Department. Regular staff meetings are held, organized with an agenda, and follow-up meetings to resolve issues are encouraged as necessary. The commander ensures all managers and supervisors are aware of assignments within their scope of responsibility as well as scheduled timelines of all major projects to ensure deadlines are met. FMS managers and supervisors are knowledgeable regarding the appropriate employee bargaining units and know where to access the contracts. Management supports an open door policy to resolve problems in a timely manner.

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Commander's Response:

No comments necessary.

Inspector's Comments:

No additional comments.

Required Action

Corrective Action Plan/Timeline

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Command: FMS (071)	Division: ASD	Chapter: 1
Inspected by: Caryn Argenio/Rosemary Sidley		Date: 4/1/2009

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

C. A. Walker

Date:

4-24-09

Responding Commander's Signature (for appeal):

Date:

AREA FMS (071)	DIVISION ASD	NUMBER
EVALUATED BY Rosemary Sidley and Caryn Argenio		DATE 4/1/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		COMMANDER'S REVIEW <i>Grau Parks</i>	DATE 4/21/09
<input type="checkbox"/> Correction Report BY _____		EVALUATED Yes	ACTION REQUIRED No
1. MANAGEMENT FUNCTIONS		CORRECTED	

a. What functions of management were observed?

(1) Planning adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Current Organizational Chart?

☒ Yes ☐ No

(1) Lines of authority, responsibility, and training?

☒ Yes ☐ No

b. How are personnel informed of commander's absence? Via e-mail to all staff and Division.

(1) Alternate assigned?

☒ Yes ☐ No

(2) Division notified via comm-net?

☒ Yes ☐ No

c. Have collateral duties been assigned to supervisors?

☒ Yes ☐ No

(1) Officers aware of assignments and/or changes? N/A

☐ Yes ☐ No

d. How was efficiency of the organization tested? Completion of Year End Plan. Proper chain of command review and approval was demonstrated as well as the dissemination of timelines to complete the projects.

e. Is there an appropriate span of control?

☒ Yes ☐ No

3. JOB DESCRIPTIONS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Local procedure for periodic review?

☒ Yes ☐ No

(1) Date of last review update? Annually, in October. Also reviewed and updated when a vacancy occurs.

b. Authority limits explained?

☒ Yes ☐ No

c. Written job descriptions for positions?

☒ Yes ☐ No

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(1) Where are job descriptions kept? In the section's files by the clerical support staff, as well as electronic copies.

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander's methods to disseminate and receive information? Departmental Comm-Net messages, staff meetings, section bulletin boards, through manager/supervisor meetings with staff.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? In person by personally thanking them; through e-mail so copies can be made and placed in field folders; performance evaluations; Commendable Form 2s.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants? *N/A*

☐ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers? *N/A*

☐ Yes ☐ No

(5) Officers to supervisors? *N/A*

☐ Yes ☐ No

(6) Officers to commander through chain of command? *N/A*

☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees? *N/A*

☐ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings? *N/A*

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? Departmental Comm-Nets, access to news clips via the computer, e-mails.

f. Are photos on picture board current?

☒ Yes ☐ No

5. AREA AND STAFF MEETINGS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**AREA ADMINISTRATION**

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b. How often are Area meetings held? Every other month, unless need dictates sooner.

(1) Who coordinates agenda? FMS Commander

(2) Who takes minutes? No minutes are taken.

(3) Is action taken, with subsequent follow-up?

☒ Yes ☐ No

c. Are successive meetings held?

☒ Yes ☐ No

d. Are Top Management minutes discussed?

☒ Yes ☐ No

(1) Does commander support departmental programs?

☒ Yes ☐ No

(2) Do employees understand information disseminated?

☒ Yes ☐ No

e. Are special interest programs planned?

☒ Yes ☐ No

f. Are schedules arranged for maximum attendance?

☒ Yes ☐ No

(1) Is information conveyed to absent members?

☒ Yes ☐ No

g. What is the frequency of staff meetings? Every other month, unless need dictates sooner.

(1) Agendas distributed prior to meetings?

☒ Yes ☐ No

(2) Who attends? All staff. Meetings are scheduled so the majority of staff can attend. Manager/supervisor meetings occur at the same frequency, and prior to the section staff meetings.

(3) Action taken, with subsequent follow-up?

☒ Yes ☐ No

h. Are sergeants-only meetings held?

N/A

☐ Yes ☐ No

i. What is the frequency of nonuniformed meetings? Every other month, unless need dictates sooner.

(1) Who schedules these meetings? FMS Commander

(2) What is the commander's role? To facilitate the meeting, answer questions, and create the agenda.

(3) Action taken, with subsequent follow-up?

☒ Yes ☐ No**6. MANAGEMENT OF TIME**EVALUATED
YesACTION REQUIRED
No

CORRECTED

a. Is time spent on activities proportionate to importance?

☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours?

☒ Yes ☐ No**7. COLLECTIVE BARGAINING**EVALUATED
YesACTION REQUIRED
No

CORRECTED

a. Does the commander comply with Contract Interpretations (CI)?

☒ Yes ☐ No

(1) Does a library copy of all CIs exist?

☒ Yes ☐ No

(2) Employee groups notified prior to changing policy?

☒ Yes ☐ No

(3) Employee contract training for nonuniformed supervisors?

☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures?

☒ Yes ☐ No

M e m o r a n d u m

Date: April 20, 2009

To: Facilities Section

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Administrative Services Division

File No.: 70.A5031

Subject: COMMAND INSPECTION - AREA ADMINISTRATION

The following information is provided in reference to the Command Inspection Program, Exceptions Document, concerning Area Administration.

Inspector's Findings:

Management Functions:

While Facilities Section is currently in the process of completing various projects and has some long range goals identified, the command inspection revealed that there are no real accountability measures utilized concerning the completion of the projects. The section does not use a project tracking log, but does keep track of due dates to the Assistant Commissioner, Staff, by monitoring that office's log. However, there are no section due dates applied to projects and no checklists, status boards or other tracking system is utilized. It is recommended that Facilities Section develop and maintain an automated project tracking system, such as a facilities maintenance database program, that all section employees can utilize to keep track of their projects and ensure they are meeting the goals/timetables set up for the projects.

Facilities Section should review the duties and responsibilities of the clerical staff. The section either does not utilize their existing clerical staff effectively or does not have adequate clerical staffing. The section analysts, who are often out of the office at various field commands, spend an inordinate amount of time trying to locate required paperwork for their projects. The section does not have an organized filing system which makes it especially difficult to locate historical files and documents that are necessary for the analysts to complete their projects. Clerical staff could be utilized to take some of this burden off of the analysts, thereby making the analysts' use of time more effective.

Organization:

To improve the efficiency of the section, a section tracking system should be utilized to control the projects and clerical staff should develop and maintain a filing system that would assist the section's commander, managers and analysts.

The section's current organization chart was reviewed and adequately displays the lines of authority and responsibility. Section staff are always aware of the commander's whereabouts through the use of a sign-in board and travel itinerary.

Job Descriptions:

Job descriptions are normally reviewed only when vacancies are being filled. It is recommended that Facilities Section determine a procedure whereby the job descriptions are reviewed and updated periodically, perhaps annually at the time of employees' performance evaluations.

Section employees seem to know their duties and responsibilities. As part of the command inspection, some of the employees were asked to provide a brief explanation of their job duties and they were able to articulate them well.

The command ensures that all job descriptions are kept in the electronic files and that employees are cross-trained.

Communications:

The command inspection revealed that there is excellent verbal communication in the Facilities Section. The commander interacts frequently with the staff, always checking in to determine how they are doing. All staff utilize a sign-in board and itinerary so other staff members know their whereabouts. The commander encourages an open door policy.

Staff Meetings:

Regular staff meetings are held monthly (first Tuesday of the month) and employees are required to keep their calendars open so they can attend these meetings. There is good reciprocal sharing of information.

Facilities Section

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April 20, 2009

Management of Time:

The time spent on activities is not proportional to the importance of the activities. As indicated previously, the analytical staff, in addition to traveling extensively, spend unnecessary time trying to locate required paperwork for their projects. This is something that could be alleviated through the use of clerical staff.

Collective Bargaining:

There is no library hard copy of the bargaining unit contracts; however, they are obtainable online. The commander and managers comply with the terms of the contracts.

In conclusion, the Facilities Section should develop a project tracking system with section due dates to keep abreast of the status of the various projects and the timelines for completion of the projects. Additionally, a procedure should be developed to ensure job descriptions are updated periodically, not only when positions vacate. Lastly, more effective use of existing clerical staff or more clerical staff would be helpful to the analysts in keeping track of their paperwork for ongoing projects.




C. A. WALKER
Assistant Chief

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Facilities (078)	Division: ASD	Chapter: 1
Inspected by: Sandra Bradley/Kathy Marshall		Date: 4/1/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input checked="" type="checkbox"/> Attachments Included	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 4/30/09
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices:			

In acquiring the facility-related responsibilities for inspection facilities and platform scales from the Commercial Vehicle Section, Facilities Section can now incorporate those projects with other facility-related projects, thereby improving consistency and project projections for routine maintenance and repair services.

Facilities Section now has the ability to issue their own X-numbers for facility-related projects rather than going through Business Services Section for the X-numbers. This has streamlined the process as well as allowed Facilities Section to project services into future year contracts.

Command Suggestions for Statewide Improvement:

Facilities Section (FS) will continue to work with the inspection facilities (IF) and field commands to improve upon both the contract and X-number processes. FS is currently evaluating existing contracts for both performance and cost benefit. FS will be facilitating additional training for all IF commanders regarding contract management and the X-number process in order to streamline the existing practices utilized in the completion of repair projects and payment of vendors. These efforts will enhance the overall efficiency of the current process.

Inspector's Findings:

Refer to attached memorandum.

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Facilities (078)	Division: ASD	Chapter: 1
Inspected by: Sandra Bradley/Kathy Marshall		Date: 4/1/2009

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Commander's Response:

Management Functions: Facilities Section (FS) does utilize a Special Repair Project database utilized by the analysts to track what phase of the project they are in. This database is still in the implementation phase and was developed by Administrative Services Division in 2007 for this specific purpose. Traditional due dates are not used for our construction projects due to the many phases the project goes through for completion. Each phase is tracked on the database so anticipated completion dates can be identified and scheduling for additional phases can be completed.

FS concurs with audit findings regarding the need for additional clerical staff for support of our analysts; however, we recognize the difficulty in obtaining these additional positions and have elected to cross-train our support staff to assist with heavy workload. FS is still working on an internal reorganization and attempting to fill vacant positions to take on the additional work and responsibilities noted in the audit.

Management of Time: FS continues to evaluate current processes utilized by our analysts in both contracting and the X-number process. Thus far we have implemented processes to streamline the X-number, maintenance and special repair contract process. Position upgrades have been completed and filled to address the need for additional support in these tasks. Automation enhancements are also underway to assist with documents needed daily by analysts which currently are available only through hard copy and traditional filing methods.

Inspector's Comments:

The FS Commander has sufficiently explained why the use of traditional due dates for the construction projects is not feasible. Since the command does note all phases of the projects in a database, there is action being taken to monitor the completion of the projects. Therefore, no action is required at this time regarding further use of a project tracking log.

The commander's intention to cross-train the existing clerical staff to assist the analysts will greatly benefit the staff and allow for better use of their time. FS should ensure that the job descriptions for these positions are updated to reflect any changes.

Required Action

Corrective Action Plan/Timeline

Job descriptions for all FS positions should be reviewed and updated, if necessary, by July 1, 2009.

Clerical staff should be cross-trained and provided additional duties to assist the section's analysts by November 1, 2009. This may require changes to the job descriptions of the clerical staff and, if so, those changes should be incorporated into the job descriptions by November 1, 2009.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
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EXCEPTIONS DOCUMENT

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Command: Facilities (078)	Division: ASD	Chapter: 1
Inspected by: Sandra Bradley/Kathy Marshall		Date: 4/1/2009

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

Date:

C.A. Walker

4-30-09

Responding Commander's Signature (for appeal):

Date:

AREA Facilities (078)	DIVISION ASD	NUMBER
EVALUATED BY Sandra Bradley and Kathy Marshall		DATE 04/01/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		COMMANDER'S REVIEW <i>Lisa Rago for</i>	DATE <i>4/30/09</i>
<input type="checkbox"/> Correction Report BY _____		EVALUATED Yes	ACTION REQUIRED Yes
1. MANAGEMENT FUNCTIONS		CORRECTED	

a. What functions of management were observed?

(1) Planning adequate?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION	EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED
a. Current Organizational Chart? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(1) Lines of authority, responsibility, and training? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
b. How are personnel informed of commander's absence? Sign-in board, travel itinerary, e-mail, verbal communication			
(1) Alternate assigned? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(2) Division notified via comm-net? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
c. Have collateral duties been assigned to supervisors? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(1) Officers aware of assignments and/or changes? <i>N/A</i> <input type="checkbox"/> Yes <input type="checkbox"/> No			
d. How was efficiency of the organization tested? Inspectors determined there is no project tracking log (except for AC, Staff's), checklists, status boards, etc., to keep track of projects. Commander verbally communicates with staff regarding project status.			
e. Is there an appropriate span of control? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			

3. JOB DESCRIPTIONS	EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED
a. Local procedure for periodic review? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(1) Date of last review update? Reviewed only at the time of a new hire.			
b. Authority limits explained? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
c. Written job descriptions for positions? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			

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(1) Where are job descriptions kept? In Facilities Section electronic files.

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander's methods to disseminate and receive information? Through routine e-mails, monthly staff meetings, impromptu meetings, word of mouth, open door policy.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? Through e-mails, provides positive verbal feedback to staff members, shares kudos at staff meetings.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants? N/A

☐ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers? N/A

☐ Yes ☐ No

(5) Officers to supervisors? N/A

☐ Yes ☐ No

(6) Officers to commander through chain of command? N/A

☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees?

☒ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings? N/A

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? Through travel itinerary and impromptu discussions. Commander always asks, "What's going on today?" Good reciprocal sharing of information verbally and via e-mail.

f. Are photos on picture board current?

☒ Yes ☐ No

5. AREA AND STAFF MEETINGS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

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b. How often are Area meetings held? Monthly with all staff. Periodically with managers.

(1) Who coordinates agenda? Office Technician

(2) Who takes minutes? Staff Services Analyst

(3) Is action taken, with subsequent follow-up? ☒ Yes ☐ No

c. Are successive meetings held? ☒ Yes ☐ No

d. Are Top Management minutes discussed? ☒ Yes ☐ No

(1) Does commander support departmental programs? ☒ Yes ☐ No

(2) Do employees understand information disseminated? ☒ Yes ☐ No

e. Are special interest programs planned? ☒ Yes ☐ No

f. Are schedules arranged for maximum attendance? ☒ Yes ☐ No

(1) Is information conveyed to absent members? ☒ Yes ☐ No

g. What is the frequency of staff meetings? Monthly (first Tuesday of the month)

(1) Agendas distributed prior to meetings? ☒ Yes ☐ No

(2) Who attends? All staff members are required to attend. Staff is encouraged to make themselves available and not to schedule appointments during this time. Any absences require an explanation to the commander.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

h. Are sergeants-only meetings held? N/A ☐ Yes ☐ No

i. What is the frequency of nonuniformed meetings? Monthly

(1) Who schedules these meetings? Commander

(2) What is the commander's role? Leads the meeting, provides information, answers questions.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

6. MANAGEMENT OF TIME	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	Yes	

a. Is time spent on activities proportionate to importance? ☐ Yes ☒ No

b. Commander/lieutenant/sergeants available other than business hours? ☒ Yes ☐ No

7. COLLECTIVE BARGAINING	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Does the commander comply with Contract Interpretations (CI)? ☒ Yes ☐ No

(1) Does a library copy of all CIs exist? ☐ Yes ☒ No

(2) Employee groups notified prior to changing policy? ☒ Yes ☐ No

(3) Employee contract training for nonuniformed supervisors? ☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures? ☒ Yes ☐ No

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COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: BSS (076)	Division: ASD	Chapter: 1
Inspected by: Kathy Marshall and Julie Martin		Date: 4/7/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: <i>24 Anderson</i>	Date: <i>4.24.09</i>
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: _____			

The Business Services Section (BSS) commander sometimes allocates assignments that will help prepare staff for upward mobility opportunities, such as bill analysis or special writing assignments. The commander plans to introduce discussions about the Strategic Plan goals and objectives at quarterly staff meetings so staff understand how important their work is to overall departmental efficiency and effectiveness.

BSS employees are located at different work sites (buildings); therefore, the commander has staff meetings at all of the different locations so employees do not always have to leave their work sites for meetings. Also, this gives the BSS employees an opportunity to visit their co-workers' offices.

Command Suggestions for Statewide Improvement: _____

No suggestions for statewide improvement were provided.

Inspector's Findings: _____

BSS is a nonuniformed command; therefore, several questions on the CHP 453A related to uniformed employees were not applicable to this section. This command inspection determined that the overall area administration of BSS is very good. Staff rely heavily on the Project Log to ensure accountability and timely completion of projects. The commander communicates well with the employees, both verbally and through e-mail, and maintains an open door policy. There are regular staff meetings where information is communicated to the staff and staff have the ability to ask questions or provide input. The assignment of alternate commander is rotated among the managers. Attempts are made to resolve issues at the lowest possible level.

This command inspection noted two areas of concern: 1) Most job descriptions are normally reviewed when there is a vacancy. While most were updated in August 2007 or later, a few had not been updated since February 2004; 2) When a clerical employee is absent, the remaining clerical staff answer the telephones. However, there is no cross-training of the clerical employees. It is recommended that all job descriptions be reviewed and updated, and that a process be implemented whereby all of the job descriptions are periodically reviewed for appropriateness. Additionally, all clerical staff should be cross-trained so one can perform the duties of another as necessary.

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Commander's Response:

Areas of concern:

- (1) Review of job descriptions – As stated, the command reviews duty statements at the time of vacancy. Due to the specialty of the command's units, most duty statements are specific in nature and do not change. The inspector recommends a process for periodical review. Even though the command has not had issue with its current practice, it will defer to the inspector's recommendation and will incorporate a review of all duty statements. Please provide an acceptable time frame for periodical review.
- (2) Cross-training of clerical employees – As stated, BSS clerical staff are only cross-trained on the general clerical support duties such as answering phones, assisting visitors, routing and copying documents, mail pick-up and distribution, etc. Due to the specialty of the units within BSS, the ability to cross-train clerical staff on duties over and above general clerical support duties listed above is not an effective or efficient use of resources. Many of the clerical staff are trained on software programs unique to their units and many of these programs have licensing issues which does not allow unlimited users. In addition, due to the infrequency of use, the clerical staff would have no proficiency with regard to these duties. The filing systems are also unique. The BSS has had issues in the past with misfiled documents. Adding additional staff to filing would most likely exacerbate the situation instead of easing it. At this time, BSS respectfully disagrees with the cross-training of clerical staff over and above the current duties. NOTE: The CHP is a pilot agency for a new eProcurement system. When that system is fully functional, there will not be a user issue. BSS plans to train all three office technicians to use this system. This system replaces two of the current unit specific software programs (ACS and Dr. E).

Inspector's Comments:

- (1) All duty statements should be reviewed/updated by July 1, 2009, and then on a yearly basis thereafter, either altogether, or individually to coincide with the employee's performance appraisal.
- (2) No further action is required concerning the cross-training of the clerical employees. The commander has elaborated on the current cross-training of these employees, which appears sufficient and will be enhanced when the eProcurement system is operational. Also, there are extenuating circumstances in this command that would make extensive cross-training ineffectual.

Required Action

Corrective Action Plan/Timeline

All duty statements with a July 1, 2008, or earlier review date, will be reviewed/updated by July 1, 2009 (combining any annual reviews in the process). Thereafter, they will be reviewed at the time of each employee's annual evaluation.

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Inspected by: Kathy Marshall and Julie Martin		Date: 4/7/2009

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

C. A. Walker

Responding Commander's Signature (for appeal):

Date:

4-24-09

Date:

AREA BSS (076)	DIVISION ASD	NUMBER
EVALUATED BY Kathy Marshall and Julie Martin		DATE 4/7/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW <i>2 Anderson</i>
			DATE <i>4.24.09</i>

1. MANAGEMENT FUNCTIONS

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
------------------	-----------------------	-----------

a. What functions of management were observed?

(1) Planning adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
------------------	-----------------------	-----------

a. Current Organizational Chart?

<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Lines of authority, responsibility, and training?

b. How are personnel informed of commander's absence? E-mail, phone call or voice mail.

(1) Alternate assigned?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Division notified via comm-net?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

c. Have collateral duties been assigned to supervisors?

<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(1) Officers aware of assignments and/or changes? <i>N/A</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

d. How was efficiency of the organization tested? Managers often build a detailed work plan for assignments and include the

information on the Project Log. The Project Log was reviewed and the projects are on track for completion by the due dates.

e. Is there an appropriate span of control?

<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

3. JOB DESCRIPTIONS

EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED
------------------	------------------------	-----------

a. Local procedure for periodic review?

<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(1) Date of last review update? Most were reviewed in August 2007 or later. Updated as positions vacate.

b. Authority limits explained?

<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

c. Written job descriptions for positions?

<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Where are job descriptions kept? In binders near the commander's office. Job descriptions for all BSS employees were reviewed.

Most were updated in August 2007 or later, but a few were dated 2004 and 2006.

(2) Has cross training been conducted?

☐ Yes ☒ No

4. COMMUNICATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander's methods to disseminate and receive information? E-mail groups are used frequently to disseminate information, as well as through informal and formal meetings.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? In meetings, verbally directly to the employee, and through announcements at informal events, such as potlucks. Congratulatory documents are placed in field folders.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants? N/A

☐ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers? N/A

☐ Yes ☐ No

(5) Officers to supervisors? N/A

☐ Yes ☐ No

(6) Officers to commander through chain of command? N/A

☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees? N/A

☐ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings? N/A

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? The Chief and Staff Services Manager IIs are the main information pipeline for the commander. The commander receives information verbally and via e-mail.

f. Are photos on picture board current?

☒ Yes ☐ No

5. AREA AND STAFF MEETINGS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

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b. How often are Area meetings held? Quarterly for all staff; bimonthly for supervisors and managers.

(1) Who coordinates agenda? Section Administrative Assistant

(2) Who takes minutes? Not done anymore. However, action items are added to the project log and supervisors brief absentees.

(3) Is action taken, with subsequent follow-up? ☒ Yes ☐ No

c. Are successive meetings held? ☒ Yes ☐ No

d. Are Top Management minutes discussed? ☒ Yes ☐ No

(1) Does commander support departmental programs? ☒ Yes ☐ No

(2) Do employees understand information disseminated? ☒ Yes ☐ No

e. Are special interest programs planned? ☒ Yes ☐ No

f. Are schedules arranged for maximum attendance? ☒ Yes ☐ No

(1) Is information conveyed to absent members? ☒ Yes ☐ No

g. What is the frequency of staff meetings? Quarterly for all staff; bimonthly for supervisors and managers.

(1) Agendas distributed prior to meetings? ☒ Yes ☐ No

(2) Who attends? Quarterly meetings - all employees; bimonthly meetings - commander, managers, supervisors.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

h. Are sergeants-only meetings held? *N/A* ☐ Yes ☒ No

i. What is the frequency of nonuniformed meetings? Quarterly for all staff; bimonthly for supervisors and managers.

(1) Who schedules these meetings? Section Administrative Assistant

(2) What is the commander's role? Quarterly: Starts meeting, has question and answer session regarding important topics, discusses safety information. Supervisor/manager meetings: Leads meeting, presents items of importance from Division or Top Management, discusses action items, and chairs a round table of information sharing.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

6. MANAGEMENT OF TIME

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is time spent on activities proportionate to importance? ☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours? ☒ Yes ☐ No

7. COLLECTIVE BARGAINING

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the commander comply with Contract Interpretations (CI)? ☒ Yes ☐ No

(1) Does a library copy of all CIs exist? ☒ Yes ☐ No

(2) Employee groups notified prior to changing policy? ☒ Yes ☐ No

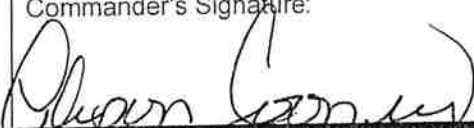
(3) Employee contract training for nonuniformed supervisors? ☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures? ☒ Yes ☐ No

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: HRS (077)	Division: ASD	Chapter: 1
Inspected by: Sandra Bradley and Julie Martin		Date: 4/8/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 04/28/09
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices:			

The Human Resources Section (HRS) commander has a brief stand-up meeting every morning with all section managers, as well as the section administrative assistant and secretary.

Command Suggestions for Statewide Improvement:

Stand-up meetings – Brief stand-up meetings, approximately 15 minutes in length, are a good means to connect with employees. If they occur regularly, it gives employees a means to interact with their co-workers and with their commander or supervisor to discuss items of importance that have recently occurred or that are anticipated to occur. This keeps employees updated on information relevant to their command and provides the opportunity for them to be involved in the processes.

Inspector's Findings:

This command inspection revealed that overall, the area administration of HRS is very good. Job descriptions and the organization chart were recently reviewed and revised. In an effort to determine if the section employees are aware of their responsibilities, various HRS staff were contacted and asked to provide a brief explanation of their job duties. The responses received closely matched their written job descriptions. The section staff rely heavily on a section project log that shows due dates to Division and the Assistant Commissioner, Staff's office; this ensures that projects stay on track and are completed in a timely manner. There is excellent communication among the staff and the commander through personal interaction and formal meetings which are held regularly for all section staff. With the recent reorganization and merger to Administrative Services Division, the picture board has become outdated. However, with the upcoming move, the picture board will not be maintained.

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Commander's Response:

In a further effort to ensure employees are aware of their duties, managers will be reviewing their duty statements with them during their annual performance evaluation meeting. Employees will also be provided a copy of their duty statement annually.

Inspector's Comments:

No further comments.

Required Action

Corrective Action Plan/Timeline

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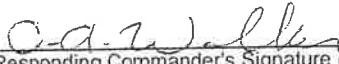
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Command: HRS (077)	Division: ASD	Chapter: 1
Inspected by: Sandra Bradley and Julie Martin		Date: 4/8/2009

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

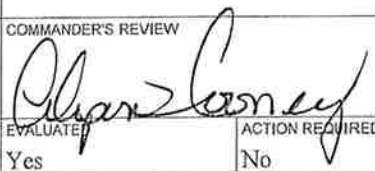
Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: 4-28-09
Responding Commander's Signature (for appeal):	Date:

AREA HRS (077)	DIVISION ASD	NUMBER
EVALUATED BY Sandra Bradley and Julie Martin		DATE 4/8/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		COMMANDER'S REVIEW 	DATE 04/28/09
<input type="checkbox"/> Correction Report BY _____		EVALUATED Yes	ACTION REQUIRED No

1. MANAGEMENT FUNCTIONS

a. What functions of management were observed?

(1) Planning adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Organization adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Staffing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Directing adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Controlling adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Delegating adequate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. ORGANIZATION

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Current Organizational Chart? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Lines of authority, responsibility, and training? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
b. How are personnel informed of commander's absence? Verbally or through e-mail. Also noted on electronic calendar.		
(1) Alternate assigned? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(2) Division notified via comm-net? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
c. Have collateral duties been assigned to supervisors? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Officers aware of assignments and/or changes? N/A <input type="checkbox"/> Yes <input type="checkbox"/> No		
d. How was efficiency of the organization tested? Review of project log, duty statements, organization chart. New hires are assigned a mentor. The Administrative Assistant maintains project log, follows up with staff for progress, and updates log accordingly.		
e. Is there an appropriate span of control? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

3. JOB DESCRIPTIONS

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Local procedure for periodic review? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Date of last review update? Normally reviewed at the time of refill, but also updated when changes to duties occur.		
b. Authority limits explained? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
c. Written job descriptions for positions? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

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(1) Where are job descriptions kept? In the HRS electronic file directory as well as in a binder kept in the commander's office.

(2) Has cross training been conducted?

☒ Yes ☐ No

4. COMMUNICATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander's methods to disseminate and receive information? Through verbal communications, e-mails, during commander's daily stand-up meetings and staff meetings. Additionally, the commander has an open door policy.

(1) Does the commander use both formal and informal channels?

☒ Yes ☐ No

(2) How does the commander inform personnel of their contributions and/or accomplishments? Verbally to the employee and/or employee's supervisor and through e-mail.

b. Good up and down flow of information within Area?

☒ Yes ☐ No

(1) Commander to supervisors?

☒ Yes ☐ No

(2) Commander to officers through lieutenants/sergeants? N/A

☐ Yes ☐ No

(3) Supervisors to commander?

☒ Yes ☐ No

(4) Supervisors to officers? N/A

☐ Yes ☐ No

(5) Officers to supervisors? N/A

☐ Yes ☐ No

(6) Officers to commander through chain of command? N/A

☐ Yes ☐ No

(7) Between uniformed/nonuniformed employees? N/A

☐ Yes ☐ No

(8) Suggestions for improvement made/tested?

☒ Yes ☐ No

c. Commander and supervisors available for counseling?

☒ Yes ☐ No

(1) Commander attend briefings?

☒ Yes ☐ No

(2) Lieutenant attend briefings? N/A

☐ Yes ☐ No

d. Is the information system effective?

☒ Yes ☐ No

(1) Are personnel aware of current projects?

☒ Yes ☐ No

(2) Weekly correspondence routed?

☒ Yes ☐ No

e. How is the commander kept informed of daily events? Through e-mails and Comm-Nets, verbally at the daily stand-up meeting with managers and supervisors where concerns and issues are discussed.

f. Are photos on picture board current?

☐ Yes ☒ No

5. AREA AND STAFF MEETINGS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Commander or facilitator/manager adequately prepared for meetings?

☒ Yes ☐ No

(1) Do meetings begin on time?

☒ Yes ☐ No

(2) Is there an agenda?

☒ Yes ☐ No

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b. How often are Area meetings held? Daily stand-up meeting for managers/supervisors. Unit meetings occur about once a month.

(1) Who coordinates agenda? Administrative Assistant

(2) Who takes minutes? Office Technician or Administrative Assistant

(3) Is action taken, with subsequent follow-up? ☒ Yes ☐ No

c. Are successive meetings held? ☒ Yes ☐ No

d. Are Top Management minutes discussed? ☒ Yes ☐ No

(1) Does commander support departmental programs? ☒ Yes ☐ No

(2) Do employees understand information disseminated? ☒ Yes ☐ No

e. Are special interest programs planned? ☒ Yes ☐ No

f. Are schedules arranged for maximum attendance? ☒ Yes ☐ No

(1) Is information conveyed to absent members? ☒ Yes ☐ No

g. What is the frequency of staff meetings? Daily for managers/supervisors. At least once a month for other section employees.

(1) Agendas distributed prior to meetings? ☒ Yes ☐ No

(2) Who attends? All HRS staff are included in meetings, but they normally attend their appropriate unit meeting, i.e., Transactions, Classification and Hiring, Examinations, Clerical, etc.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

h. Are sergeants-only meetings held? N/A ☐ Yes ☐ No

i. What is the frequency of nonuniformed meetings? Varies but typically once a month.

(1) Who schedules these meetings? Unit managers.

(2) What is the commander's role? Commander is made aware of the meetings and tries to attend as many as possible to provide information to staff and/or answer questions posed by the staff.

(3) Action taken, with subsequent follow-up? ☒ Yes ☐ No

6. MANAGEMENT OF TIME

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is time spent on activities proportionate to importance? ☒ Yes ☐ No

b. Commander/lieutenant/sergeants available other than business hours? ☒ Yes ☐ No

7. COLLECTIVE BARGAINING

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the commander comply with Contract Interpretations (CI)? ☒ Yes ☐ No

(1) Does a library copy of all CIs exist? ☒ Yes ☐ No

(2) Employee groups notified prior to changing policy? ☒ Yes ☐ No

(3) Employee contract training for nonuniformed supervisors? ☒ Yes ☐ No

(4) Managers/supervisors understand grievance/complaint procedures? ☒ Yes ☐ No